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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/616,800	07/14/2000	James Richard Wason	13678(END9-2000-0079US1)	6633

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EXAMINER

HOLMES, MICHAEL B

ART UNIT	PAPER NUMBER
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2121

DATE MAILED: 04/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/616,800

Applicant(s)

WASON, JAMES RICHARD

Examiner

Michael B. Holmes

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 27 January 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-14 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____



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Examiner's Detailed Office Action

Response to Amendment

1. This Office Action is responsive to communication received on **January 27, 2004**.
Amendment "A" under 37 CFR § 1.111. Reconsideration and allowance of the present application **09/616,800**, filed **July 14, 2000**, is respectfully requested by applicant. All such supporting documentation has been placed in applicant's file.
2. Applicant's arguments filed January 27, 2004, paper #5, have been fully considered, but they are *not* persuasive.
3. **Claims 1-14** stand rejected under **Title 35 USC § 102 (b)** as being anticipated by *Reed et al.* (USPN 5,862,325).
4. The text of the prior Office Action has been included below.

Common Knowledge Block

5. **trigger n. 1.** In a database, an action that causes a procedure to be carried out automatically when a user attempts to modify data. A trigger can instruct the database system to take

or perform a specific action., depending on the particular change attempted. Incorrect, unwanted, or unauthorized changes can thereby be prevented, helping to maintain the integrity of the data-base. 2. A function built into a virus or worm that controls the release of a malicious payload or similar event. The trigger may be activated at a predetermined time or date or in response to a user-initiated event, such as opening a specific program or file,. In some cases, the trigger may reset itself repeatedly until the virus is neutralized.

Claim Rejections - 35 USC § 102

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

7. **Claims 1-14** are rejected under 35 U.S.C. 102(b) as being anticipated by

Reed et al. (USPN 5,862,325), Filed: September 27, 1996; Date of Patent: January 19, 1999.

Regarding Claim 1:

- A method for applying business rules to data, comprising the steps:
for each rule, invoking the rule at the occurrence of each of a defined set of operations on the data, identifying a predetermined trigger condition for the rule, and processing the rule if the predetermined trigger condition is satisfied.

[(col. 13, line 51 to col. 14, line 10"*For example, the information from a provider*

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may include the provider's telephone number ...or sending a message to another software program on the consumer's desktop.”]]

Regarding Claim 2:

the identifying step includes the steps of: identifying at least one data value [(col. 93, line 30-43 “Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.”)]; identifying a trigger value [(col. 93, line 30-43 “Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.”)]; and identifying an operator indicating how the data value will be compared to the trigger value. [(col. 93, line 30-43 “Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.”)]

Regarding Claim 3:

- A method of applying business rules to data, comprising the steps: for each rule, invoking the rule at the occurrence of each of a defined set of operations on the data, identifying a predetermined trigger condition for the rule, invoking a

predefined method if the trigger condition is partially satisfied, and using the method to determine a final result of the rule. [(col. 21, line 33-62 “*Rules 140 work in conjunction with methods to provide the operational functionality of a communications object system ... Rules may be understood further in the discussion of communications object control functions below.*”)]

Regarding Claim 4:

- A method for managing business rules for data, comprising the steps: establishing a set of business rules, each of the rules including a trigger condition and a process [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]; storing the rules in a table [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]; performing a predefined operation on the data [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]; checking all the rules in the table to determine if any are invoked by the predefined operation [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]; for each rule that is invoked, determining whether the trigger condition of the rule is satisfied [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]; and for each rule the trigger

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condition of which is satisfied, implementing the process of the rule. [(col. 24, line 22-58 “*Because communications objects and their component type definitions ... conventional database management systems.*”)]

Regarding Claim 5:

comprising the steps of: running an application using the data; and changing any of the business rules without recompiling or reinstalling the application. [(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).”)]

Regarding Claim 6:

comprising the step, upon rule failure, defining a message and help for each rule using visual programming techniques. [(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).”)]

Regarding Claim 7:

comprising the step, upon rule execution, adding the help and message to an error message list. [(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).”)]

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Regarding Claim 8:

- A system for managing business rules for data, comprising: means for establishing a set of business rules, each of the rules including a trigger condition and a process [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]; a table for storing the rules [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]; means for performing predefined operation on the data [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]; means for checking all the rules in the table to determine if any are invoked by the predefined operation [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]; means for determining, for each rule that is invoked, whether the trigger condition of the rule is satisfied [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]; and means for implementing the process of each rule, the trigger condition of which is satisfied. [(col. 67, line 12-61 "*The ability of a communications object system to automate common communications tasks ... HTML form.*");]

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Regarding Claim 9:

comprising: means for running an application using the data; and means for changing any of the business rules without recompiling or reinstalling the application. [(col. 69, line 27 to col. 70, line 4 "*As with any multiuser database system ... Active Database Systems.*")]

Regarding Claim 10:

- A program storage device readable by machine, tangibly embodying a program of instructions executable by the machine to perform method steps for managing business rules for data, said method steps comprising: establishing a set of: business rules, each of the rules including a trigger condition and a process [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]; storing the rules in a table [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]; performing a predefined operation on the data [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]; checking all the rules in the table to determine if any are invoked by the predefined operation [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]; for each rule that is invoked, determining whether the trigger condition of the rule is satisfied [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]; and for each rule the trigger condition of which is satisfied, implementing the process of the rule. [(col. 11, line 65 to col. 12, col. 58 "*There is illustrated in FIG. 1 a first ... network.*")]

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Regarding Claim 11:

comprise: running an application using the data; and changing any of the business rules without recompiling or reinstalling the application. [(col. 13, line 7-45 “*Appropriate programs executing on the provide computer 1 and the consumer computer 2 perform the functions ...and other notification methods.*”)]

Regarding claim 12: (new)

specifying condition under which the rules is invoked; [(col. 21, lines 33-40 “*Rules 140 work in conjunction with methods to provide the operational functionality of a communications object system. Rules allow the provider database 11 and consumer database 21 to operate as active object databases, capable of initiating communications, database processing, or other procedures based on time, system variables, system events, or other conditions. Rules also supply constraints under which methods operate.*”)]

Regarding claim 13: (new)

changing business rules does not require any changes to the associated application; [(col. 17, line 23-38 “*There are seven principal object classes: communications objects 110, recipients 120, rules 130, methods 131, pages 132, elements 133, and type definitions 134.*”]

Communications objects are the primary data structure transmitted from the provider program to the consumer program to control communications between the provider and consumer. Like any software object, a communications object consists of attributes and methods. The type definitions class is used together with the elements and pages classes to specify the attributes of

the communications object. The methods class and rules class are used to specify the methods of the communications object. By using separate object classes to define the attributes and methods that will be included in a particular communications object instance, a wide variety of communications objects can be created and managed within the same system.”]]

Regarding claim 14: (new)

providing subtriggers; [(col. 59, line 60 to col. 60, line 06 “Referring again to FIG. 3, the triggering of update methods is typically controlled by a scheduled event instance 117 in the consumer program 22. As described above, this scheduled event instance 117 can be created by a receipt method executed when a communications object or object update 110 is received. It can also be scheduled or rescheduled by an update method triggered by a scheduled event instance 117. This combination of using receipt methods and update methods to control scheduled event instances 117 provides comprehensive control over update events. This is further augmented by the ability of receipt and update methods to use any data available to them within the communications object 110 or the consumer database 21 to make update decisions.”)]

Response to Arguments

8. **Regarding claims 1, 3, 4, 8, & 10**, of which have been amended to include:

“ ... defining a set of business rules, each of the rules determining the validity of data in an associated, defined computer application; ... ” see Reed et al. [col. 59, line 29-50 (“If a push transmission from the provider did not reach the consumer within a 60 day period, the scheduled

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event instance would be activated. It would trigger the update method which would send a message object 110 back to the provider program 12. This message object could contain the e-mail address of the consumer computer 2, the version and date of the last communications object received, and other such data as would allow the provider program 12 and consumer program 22 to resynchronize after an error condition. When a communications object employs the pull technique of updating, an update method is used to control the update operation. Pull-type update methods can use any services available at the consumer program 22 to initiate an update. In a preferred embodiment shown in FIG. 1, an update method initiates a polling request from the consumer program 22 to a distribution server 32. For example, the consumer program 22 can issue a HTTP "Get" request to Web server using the "If-Modified-Since" parameter in the header. The date/time of the most recent existing communications object version in the consumer database 21 is supplied as the value for the "If-Modified-Since" parameter. ")]

Examiners Summary

9. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).
10. A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37

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CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Correspondence Information

11. Any inquiries concerning this communication or earlier communications from the examiner should be directed to **Michael B. Holmes** who may be reached via telephone at **(703) 308-6280**. The examiner can normally be reached Monday through Friday between 8:00 a.m. and 5:00 p.m. eastern standard time.

If you need to send the Examiner, a facsimile transmission regarding After Final issues, please send it to **(703) 746-7238**. If you need to send an Official facsimile transmission, please send it to **(703) 746-7239**. If you would like to send a Non-Official (draft) facsimile transmission the fax is **(703) 746-7240**. If attempts to reach the examiner by telephone are unsuccessful, the Examiner's Supervisor, **Anil Khatri**, may be reached at **(703) 305-0282**.

Any response to this office action should be mailed too:

Director of Patents and Trademarks Washington, D.C. 20231. Hand-delivered responses should be delivered to the Receptionist, located on the fourth floor of **Crystal Park II, 2121 Crystal Drive Arlington, Virginia**.

Michael B. Holmes
Patent Examiner
Artificial Intelligence



Anthony Knight
Supervisory Patent Examiner
Group 3600

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